

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney's Docket No. N03.2101

Applicant or
Patentee: Cheryl K. Steenstra, et al.

Serial or
Patent No. Not Yet Assigned Filed: Herewith

Title: Melanin Concentrating Hormone Receptor Ligands: Substituted Tetrahydroisoquinoline Analogues

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
(37 C.F.R. § 1.9(f) AND § 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN

NEUROGEN CORPORATION

ADDRESS OF SMALL BUSINESS CONCERN

35 NORTHEAST INDUSTRIAL ROAD
BRANFORD, CT 06405

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 C.F.R. § 121, and referenced in 37 C.F.R. § 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled Melanin Concentrating Hormone Receptor Ligands: Substituted Tetrahydroisoquinoline Analogues by inventors Cheryl K. Steenstra, Taeyoung Yoon and John M. Peterson.

described in

- ☒ the specification filed herewith.
☐ Application Serial No. _____, filed _____.
☐ Patent No. _____, issued _____.

If the rights held by the above identified small business concern are not exclusive, each individual concern or

Patent Department
NEUROGEN CORPORATION
35 Northeast Industrial Road
Branford, CT 06405
203-488-8201

organization having rights in the invention must file verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d), or a nonprofit organization under 37 CFR § 1.9(e).

Each person, concern or organization having any rights to the invention is listed below:

- ☒ No such person, concern or organization exists.
☐ Each such person, concern or organization is listed below.

FULL NAME _____ ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights in the invention averring to their status as small entities. (37 CFR § 1.27).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing therein, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Seth Fidel 38,449

TITLE IN ORGANIZATION: Assistant Secretary to the Corporation

ADDRESS OF PERSON SIGNING: 35 Northeast Industrial Road
Branford, CT 06405

Signature: _____

Date: _____

Patent Department
NEUROGEN CORPORATION
35 Northeast Industrial Road
Branford, CT 06405
203-488-8201